

FORM PTO-1390  
(REV 12-29-99)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

FUK-75

U.S. APPLICATION NO. (If known, rec'd PCT Art. 1.5)

09/622397

INTERNATIONAL APPLICATION NO.  
PCT/JP99/00936INTERNATIONAL FILING DATE  
February 26, 1999PRIORITY DATE CLAIMED  
February 27, 1998TITLE OF INVENTION SURFACE TREATING FOR MICROMACHINING AND  
METHOD FOR SURFACE TREATMENT

APPLICANT(S) FOR DO/EO/US


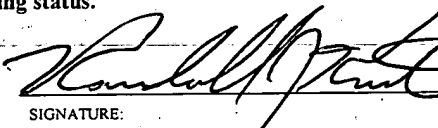
Hirohisa KIKUYAMA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☒ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

U.S. APPLICATION NO. (if known) 37 CFR 1.53		INTERNATIONAL APPLICATION NO.		ATTORNEY'S REFERENCE NUMBER	
09/62007		PCT/JF997/00936		FOK-75	
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$970.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$840.00  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$690.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$670.00  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00  <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				\$ 840.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ -0-	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	19 - 20 =	0	X \$18.00	\$ -0-	
Independent claims	1 - 3 =	0	X \$78.00	\$ -0-	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$ -0-	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 840.00	
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$ -0-	
<b>SUBTOTAL =</b>				\$ 840.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ -0-	
<b>TOTAL NATIONAL FEE =</b>				\$ 840.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ -0-	
<b>TOTAL FEES ENCLOSED =</b>				\$ 840.00	
				Amount to be refunded:	\$
				charged:	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>840.00</u> to cover the above fees is enclosed.  b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.  c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>501157</u> . A duplicate copy of this sheet is enclosed.				Check No. 4479	
<p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p>					
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>SEND ALL CORRESPONDENCE TO:</p> <p><b>CUSTOMER NO: 22855</b></p>  <p style="font-size: x-large; font-weight: bold;">22855</p> <p>Telephone No. 219-485-6001</p> <p>Facsimile No. 219-486-2794</p> </div> <div style="width: 50%; text-align: right;"> <p></p> <p>SIGNATURE:</p> <p><b>Randall J. Knuth</b></p> <hr/> <p>NAME</p> <p><b>34,644</b></p> <hr/> <p>REGISTRATION NUMBER</p> </div> </div>					

Date: August 16, 2000

533 Rec'd PCT/PTO 16 AUG 2000

Commissioner of Patents and Trademarks  
Box: PCT  
Washington, DC 20231

Re: National Stage PCT Application for United States Letters Patent

APPLICANT: Hirohisa KIKUYAMA et al.

TITLE OF INVENTION: SURFACE TREATING FOR MICROMACHINING AND METHOD  
FOR SURFACE TREATMENT

Sir:

Forwarded herewith is the above-identified application, consisting of the following:

PTO-1390

Verification of Translation

Specification (12 Sheets)

Claims (1 Sheets)

Abstract

Drawings - NONE

**Preliminary Amendment** including

**Substitute Specification**

Replacement ABSTRACT OF THE DISCLOSURE

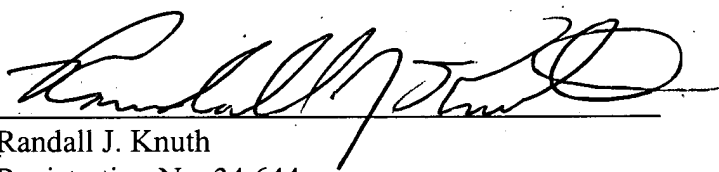
Unexecuted Declaration

Information Disclosure Statement

Form PTO-1449

Cited Art References

Respectfully submitted,



Randall J. Knuth

Registration No. 34,644

RJK/jrc

Enclosures: As stated above.

Check No. 4479 (\$840)

Return Postcard

RANDALL J. KNUTH, P.C.  
3510-A STELLHORN ROAD  
FORT WAYNE, IN 46815-4631  
TELEPHONE: 219-485-6001  
FACSIMILE: 219-486-2794

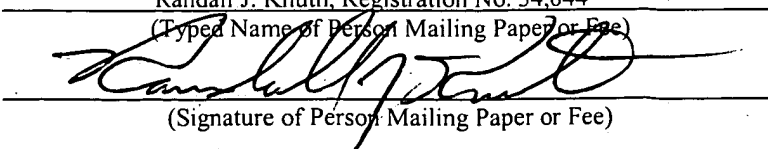
"EXPRESS MAIL" Mailing Number EL161763313US

Date of Deposit August 16, 2000.

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231

Randall J. Knuth, Registration No. 34,644

(Typed Name of Person Mailing Paper or Fee)



(Signature of Person Mailing Paper or Fee)

**COPY**

**09/622397**

RECEIPT IS ACKNOWLEDGE OF:

Type of Paper: National Stage PCT Application For  
United States Letters Patent

Title: SURFACE TREATING FOR MICROMACHINING AND  
METHOD FOR SURFACE TREATMENT

Applicant: Hirohisa KIKUYAMA et al.

Serial No.:

Filing Date: August 16, 2000

Encs: Express Mail Cover Letter EL161763313US  
PTO-1390

Verification of Translation

Specification (12 Sheets)

Claims (1 Sheet)

Abstract

Drawings - NONE

Preliminary Amendment including

Substitute Specification

Replacement ABSTRACT OF THE DISCLOSURE

Unexecuted Declaration

Information Disclosure Statement

Form PTO-1449

Cited Art References

Check No. 4479 (\$840)

Date Mailed: August 16, 2000

Our Ref: FUK-75

RJK/lsc

**526 Rec'd PCT/PTO 16 AUG 2000**